

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of:

**Takashi OHSAWA**

Serial No.: Continuation of 09/964,851, filed  
September 28, 2001

Filed: Herewith

For: SEMICONDUCTOR MEMORY DEVICE

Atty. Docket No.: 002372.00045

Group Art Unit: Unknown

Examiner: Unknown

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with Applicants' duty of disclosure, the following information is submitted for consideration by the United States Patent and Trademark Office in connection with the above-captioned application. The information is identified on the attached PTO-1449 form.

This application relies, under 35 U.S.C. § 120, on the earliest filing date of prior U.S. patent application serial no. 09/964,851, filed September 28, 2001. The documents identified on the attached PTO 1449 form were submitted to and/or cited by the Office in a prior application and, therefore, copies are not required to be provided in this application. (See 37 C.F.R. § 1.98(d)).

Applicants do not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application.

It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed Form PTO-1449 in the appropriate place to indicate that the document has been

considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609.

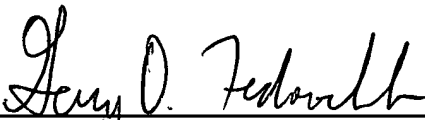
Applicants believe that no fee is necessary pursuant to 37 C.F.R. § 1.97(b). However, if a fee is due, the Office is authorized to charge Deposit Account No. 19-0733.

Respectfully submitted,

BANNER & WITCOFF, LTD.

Dated: July 14, 2003

By:

  
\_\_\_\_\_  
Gary D. Fedorochko  
Registration No. 35,509

1001 G Street, N.W.  
Washington, D.C. 20001-4597  
(202) 508-9100

GDF:lab

Please type a plus sign (+) inside this box → +

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

|   |  |   |    |                          |                |
|---|--|---|----|--------------------------|----------------|
| Substitute for form 1449A/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(use as many sheets as necessary)</i> |  |   |    | <b>Complete if Known</b> |                |
| Sheet   |  | 1 | of |                          | 1              |
|   |  |   |    | Application Number       | TBA            |
|   |  |   |    | Filing Date              | Herewith       |
|   |  |   |    | First Named Inventor     | Takashi OHSAWA |
|   |  |   |    | Group Art Unit           | Unknown        |
|   |  |   |    | Examiner Name            | Unknown        |
|   |  |   |    | Attorney Docket Number   | 002372.00045   |

| U.S. PATENT DOCUMENTS  |                          |                      |                                      |  |  |   |
|------------------------|--------------------------|----------------------|--------------------------------------|--|--|---|
| Examiner<br>Initials * | Cite<br>No. <sup>1</sup> | U.S. Patent Document |                                      | Name of Patentee or Applicant<br>of Cited Document | Date of Publication of<br>Cited Document<br>MM-DD-YYYY | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                        |                          | Number               | Kind Code <sup>2</sup> (if<br>known) |  |  |   |
|                        |                          | 5,506,436            |                                      | Hayashi et al.                                     | 04-1996  |   |
|                        |                          | 5,567,959            |                                      | Mineji   | 10-1996  |   |
|                        |                          | 2002-0051378         | A1                                   | Ohsawa   | 05-02-02   |   |
|                        |                          | 2002-0034855         | A1                                   | Horiguchi  | 03-21-02   |   |
|                        |                          |                      |                                      |  |  |   |

| FOREIGN PATENT DOCUMENTS |                          |                         |                     |                                      |   |  |  |                |
|--------------------------|--------------------------|-------------------------|---------------------|--------------------------------------|---|--|--|----------------|
| Examiner<br>Initials *   | Cite<br>No. <sup>1</sup> | Foreign Patent Document |                     |                                      | Name of Patentee or<br>Applicant of Cited<br>Document | Date of Publication of<br>Cited Document<br>MM-DD-YYYY | Pages, Columns,<br>Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sub>6</sub> |
|                          |                          | Office <sup>3</sup>     | Number <sup>4</sup> | Kind Code <sup>5</sup> (if<br>known) |   |  |  |                |
|                          |                          | JP                      | 03-171768           |                                      | Sakui   | 07-25-91   |  | Abst           |
|                          |                          | JP                      | 07-30001            | A                                    | Oda et al.  | 01-1995  |  |                |
|                          |                          |                         |                     |                                      |   |  |  |                |
|                          |                          |                         |                     |                                      |   |  |  |                |

| OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS |                          |   |                |
|--|--------------------------|---|----------------|
| Examiner<br>Initials *                             | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|  |                          | G. VINCENT, et al., "Electric field effect on the thermal emission of traps in semiconductor junctions", 1979 American Institute of Physics, pp. 5484-5487  |                |
|  |                          | J. LEISS, et al., "dRAM Design Using the Taper-Isolated Dynamic RAM Cell", IEEE Transactions on Electron Devices, Vol. ED-29, No. 4, April 1982, pp. 707-714  |                |
|  |                          | M. TACK, et al., "The Multistable Charge-Controlled Memory Effect in SOI MOS Transistors at Low Temperatures", IEEE Transactions on Electron Devices, Vol. 37, No. 5, May 1990, pp. 1373-1382   |                |
|  |                          | H. WANN, et al., "A Capacitorless DRAM Cell on SOI Substrate", 1993 IEEE, pp. 635-638   |                |
|  |                          | P. CHATTERJEE, et al., "Memory Technology", Digest of Technical Papers, February 1979, pp. 22-23  |                |
|  |                          |   |                |
|  |                          |   |                |

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.